

FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (MODIFIED)

ATTORNEY'S DOCKET NUMBER

X-15515

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

**10/523147**

INTERNATIONAL APPLICATION NO.

**PCT/IB2003/003583**INTERNATIONAL FILING  
DATE**28 July 2003 (28.07.03)**

PRIORITY DATE CLAIMED

**05 August 2002 (05.08.02)**

**TITLE OF INVENTION: Thomas Daniel Aicher, Zhaogen Chen, Yvan Le Heurou, Fionna Mitchell Martin, Maria Marta Pineiro-Nunez, Vincent Patrick Rocco, Kevin Michael Ruley, John Mehnert Schaus, Patrick Gianpietro Spinazze and David Edward Tupper**

**APPLICANTS: FOR DO/EO/US: PIPERAZINE SUBSTITUTED ARYL BENZODIAZEPINES**

Applicant herewith submits to the U.S. Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A declaration of the inventors 35 U.S.C. 371(c)(4) was provided in the PCT Request Form.
11. ☐ A copy of the International Preliminary Examination Report (IPER), including any annexes, and, if not in English, an English language translation of the annexes to the IPER under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 12. to 18. below concern document(s) or information included:**

12. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☐ Assignment has been recorded at reel \_\_\_\_\_, frame \_\_\_\_\_.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A Sequence Listing, 1.821 Statement, and diskette.
18. ☐ A power of attorney with attachments.
18. ☒ Other items or information:

Please amend the first page of the specification by inserting the following cross-reference after the title:  
 "This is the national phase application, under 35 USC 371, for PCT/IB2003/003583, filed 28 July 2003, which, claims the benefit, under 35 USC 119(e), of US provisional application 60/401,297, filed 05 August 2002."

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) <b>10/523147</b>		INTERNATIONAL APPLICATION NO. <b>PCT/IB2003/003583</b>		ATTORNEY'S DOCKET NUMBER <b>X-15515</b>	
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<p>19. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>Basic National Stage Fee = \$ 300.00</p> <p>National Stage Search Fee = \$ 500.00</p> <p>National Stage Examination Fee = \$ 200.00</p> <p><b>TOTAL NATIONAL STAGE FEES \$1,000.00 (a)</b></p> <p>Application Length Fee</p> <p>Total Length (excluding sequence listings)</p> <p><u>333</u> - 100 + 50 x 250 = <u>250</u> (b)</p>	<b>CALCULATIONS PTO USE ONLY</b>
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<b>ENTER APPROPRIATE AMOUNT (a + b) =</b>				\$ 1,250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	44 - 20=	24	X \$50.00	\$ 1,200.00	
Independent claims	1 - 3=		X \$200.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 2,450.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$	
<b>SUBTOTAL =</b>				\$ 2,450.00	
Processing fee of \$130.00 for furnishing English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31).				\$	
<b>\$40.00 per property</b>					
<b>TOTAL FEES ENCLOSED =</b>				\$ 2,450.00	
				<b>Amount to be refunded</b>	\$
				<b>charged</b>	\$

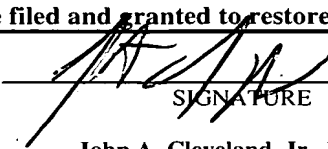

  

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 05-0840 in the amount of \$ 2,450.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 05-0840. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

<p><b>SEND ALL CORRESPONDENCE TO:</b>  <b>ELI LILLY AND COMPANY</b>          PATENT DIVISION          P.O. BOX 6288          INDIANAPOLIS, INDIANA 46206-6288</p> <p>_____          Date  <u>50.697</u>          REGISTRATION NUMBER</p>	 SIGNATURE <u>John A. Cleveland, Jr., Ph.D.</u> NAME <u>(317) 276-0307</u> TELEPHONE NUMBER	 <b>25885</b> PATENT TRADEMARK OFFICE
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IN THE UNITED STATES RECEIVING OFFICE (USRO)

Applicants: Thomas Daniel Aicher, Zhaogen Chen, Yvan Le Huerou, Fionna Mitchell Martin, Maria Marta Pineiro-Nunez, Vincent Patrick Rocco, Kevin Michael Ruley, John Mehnert Schaus, Patrick Gianpietro Spinazze, and David Edward Tupper

International Application No.: PCT/IB2003/003583

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Invention: PIPERAZINE SUBSTITUTED ARYL BENZODIAZEPINES

Lilly Reference: X-15515

Earliest Priority Date: 05 August 2002 (05.08.02)

Certificate Under 37 C.F.R. § 1.10

Attention: DO/EO

Mail Stop PCT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir/Madam:

"Express Mail" mailing label number: EL832893893US

Date of Deposit: June 24, 2005

I hereby certify that the following attached paper or fee Transmittal Letter to the United States Designated/Elected Office (US) concerning a filing under 35 U.S.C. 371 of the International Application identified above is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Queen Thomas

(Typed or printed name of person mailing paper)

Queen Thomas  
(Signature of person mailing paper or fee)